

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



## FILING COMPLETION UNDER RULE 53(f)

( NOT PCT Applications)

For Design, Provisional, or Utility Applications

PATENT  
APPLICATIONCOMPLETION Under  
Rule 53(f)

In re PATENT APPLICATION of

Inventor(s): Goldstein et al.

Appln. No.:

09

672,684

Atty.Dkt.

PM

12607

265981

Series Code ↑

Serial No. ↑

M#

Client Ref

Filed: September 28, 2000

Title: METHOD OF AND SYSTEM FOR PROCESSING TRANSACTIONS

Attn: Application Division

## CERTIFICATE OF MAILING

I hereby certify that this correspondence and all marked attachments are being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on

February 16, 2001

(DATE)

K. A. Cubells

Hon. Commissioner of Patents  
Washington, DC 20231

Date: February 16, 2001

Sir:

The following completes the filing under Rule 53(f) of the above-identified patent application:

1. **Notice to File Missing Parts** ☒ copy attached ☐ not yet received
2. ☒ Signed Declaration attached. ☒ Original ☐ Facsimile/Copy

(Always "X" box 2 if filing signed Declaration and

"X" box 2A only if top box of the Declaration is X'd and file application copy, or"X" box 2B only if none of the top three boxes of the Declaration is X'd.)

- 2A. ☐ Attached: Original signed Declaration with attached specification (including claim(s)) which is a copy of specification and claim(s) originally filed to secure the above filing date.
- 2B. ☐ The original application as filed in the PTO on the above filing date is the application which each inventor executed by signing the attached Rule 63 Declaration.
3. ☐ Specification originally filed in non-English language; hence verified translation attached of:
- a. ☐ Abstract
- b. #  pages of Specification (only spec. & claims)
- c. ☐ Drawing(s)  No of Sheets
- ☐ Fig(s).
4. ☐ Letter filing formal drawing attached.

5. ☒ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.
6. **DOMESTIC/INTERNATIONAL** priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date	Application No.	Filing Date
(1) 60/156,814	09/29/99	(2)	
(3)		(4)	
(5)		(6)	

7. **FOREIGN** priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in

8.

Application No.	Filing Date	Application No.	Filing Date
(1)		(2)	
(3)		(4)	
(5)		(6)	

9. \_\_\_\_\_ (No.) Certified copy (copies): ☐ attached; ☐ previously filed (date) \_\_\_\_\_  
in U.S. Application No. \_\_\_\_\_ / \_\_\_\_\_ filed on \_\_\_\_\_
10. Small Entity Status ☐ ☒ is Not claimed ☐ is claimed (file PAT-256 if this is the first claim of Small Entity Status)
11. ☒ Attached: Copy of Notice to File Missing parts of Nonprovisional Application; return postcard.
12. ☐ Preliminary Amendment:

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

				Large/Small Entity		Fee Code
13. Basic Filing Fee . . . . . Design Application				\$320/\$160		106/26
Not Design Application				\$710/\$355	+690	101/201
14. Total Effective Claims	27	minus 20 =	7	x \$18/\$9	+126	103/203
15. Independent Claims	4	minus 3 =	1	x \$80/\$40	+78	102/202
16. If <u>any proper</u> multiple dependent claim (ignore improper) is present, (Leave this line <u>blank</u> if this is a <u>reissue</u> application)				\$270/\$135	+0	104/204
17. Surcharge for filing Declaration/filing fee late				\$130/\$65	+130	105/205
18.				FILING FEE ENCLOSED =		\$1024
19. <u>Original due date:</u> January 22, 2001						
20. <b>Petition is hereby made</b> to extend the <u>original</u> due date to cover the date this response is filed for which the requisite fee is attached				(1 mo)	\$110/\$55 =	115/215
				(2mos)	\$390/\$195 =	116/216
				(3mos)	\$890/\$445 =	117/217
				(4mos)	\$1390/\$695 =	118/218
21. If "non-English" box 3 is X'd, add Rule 17(k) processing fee . . . . .				\$130	+0	139
22. If "assignment" box 5 is X'd, add recording fee. . . . .				\$40	+40	581
23. Petition Fee for				\$130	+0	
24.				TOTAL FEE ENCLOSED =		\$1174

Our Deposit Account No. 03-3975

Our Order No.

012607

265981

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M#

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficiencies only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This **CHARGE STATEMENT** does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

**Pillsbury Winthrop LLP  
Intellectual Property Group**

1100 New York Avenue, NW  
Ninth Floor  
Washington, DC 20005-3918  
Tel: (202) 861-3000  
Atty/Sec: JEJ/KAC

By Atty: Jonathan E. Jobe, Jr.

Reg. No. 28,429

Sig: 

Fax: (202) 822-0944  
Tel: (619) 544-3102

**NOTE:** File in duplicate with PTO receipt (PAT-103A) and attachments



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/672,684	09/28/2000	Neal Goldstein	PM 12607

Pillsbury Madison & Sutro LLP  
Intellectual Property Group  
1100 New York Avenue N W  
Ninth Floor  
Washington, DC 20005-3918



## FORMALITIES LETTER



\*OC000000005572903\*

Date Mailed: 11/22/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$694.
  - \$126 for 7 total claims over 20.
  - \$78 for 1 independent claims over 3.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

03/06/2001 WABRHM1 00000065 033975 09672684

02 FC:101	710.00 OP
03 FC:103	126.00 OP
04 FC:102	80.00 OP
05 FC:105	130.00 OP
06 FC:115	30.00 OP
80.00 CH	

02/22/2001 RHARIS1 00000004 09672684

01 FC:101	710.00 OP
02 FC:103	126.00 OP
03 FC:105	130.00 OP
04 FC:115	110.00 OP

- The balance due by applicant is \$ 1024.

OP OP OP  
-710.00 OP  
-126.00 OP  
-130.00 OP  
-110.00 OP

A copy of this notice **MUST** be returned with the reply.

RECEIVED

PILLSBURY MADISON &amp; SUTRO LLP/DC

NOV 30 2000

Customer Service Center  
Intellectual Patent Examination Division (303) 308-1202

CL# MT# 265981  
ATTY(S) JES/PRM  
DUE: 11/22/00  
DKT BY (1) JST (2)

file: \\PreExam\correspondence\2\_A.xml

Adjusted date: 02/22/2001  
01 FC:101  
02 FC:103  
03 FC:105  
04 FC:115

03/06/2001  
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10

PART 1 - ATTORNEY/APPLICANT COPY